

*part of #4*

**PROPRIETARY MATERIAL NOT OPEN TO PUBLIC.  
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TRADEMARK OFFICE EMPLOYEE**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Attorney Docket No.: 38005-0158

Applicant: STILZ et al.

Appl. No.: 09/995,631

Examiner: D. Lukton.

Filing Date: November 29, 2001

Art Unit: 1653

Title: NOVEL HETEROCYCLES AS INHIBITORS OF LEUCOCYTE  
ADHESION AND AS VLA-4 ANTAGONIST

**TRANSMITTAL LETTER FOR  
PROPRIETARY INFORMATION DISCLOSURE STATEMENT  
UNDER 37 CFR § 1.56 and MPEP § 724**

Commissioner for Patents  
Washington, D.C. 20231

Sir:

Attached hereto is a Proprietary Information Disclosure Statement submitting proprietary information to the Patent and Trademark Office in accordance with the requirements of 37 C.F.R. §1.56 and MPEP § 724. Applicants respectfully request that the information be considered only by the Examiner in charge of the above-caption application, or other authorized Patent and Trademark Office employee.

Respectfully submitted,

Date: March 1, 2002

By *Patricia D. Granados*

HELLER EHRMAN WHITE & MCAULIFFE  
1666 K Street, N.W., Suite 300  
Washington, DC 20006  
Telephone: (202) 912-2000  
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Patricia D. Granados  
Attorney for Applicant  
Registration No. 33,683  
Customer No. 26633



26633

PATENT TRADEMARK OFFICE

*part of #4*

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ADHESION AND AS VLA-4 ANTAGONISTS

**PROPRIETARY INFORMATION DISCLOSURE STATEMENT  
UNDER 37 CFR § 1.56 and MPEP § 724**

Commissioner for Patents  
Washington, D.C. 20231

Sir:

The following is a listing of co-pending U.S. patent applications which list Han Ulrich Stilz et al. as an inventor.

<u>SERIAL NO.</u>	<u>TITLE</u>	<u>FILING DATE</u>
08/971,960	5-MEMBERED RING HETEROCYCLES AS INHIBITORS FO LEUCOCYTE ADHESION AND AS VLA-4 ANTANTAGONISTS	Nov. 17, 1997
09/405,843	HYDANTOIN DERIVATIVES AS INHIBITORS OF LEUCOCYTE ADHENSION AND AS VLA-4 ANTAGONISTS	Sept. 27, 1999

Applicants consider the aforementioned documents and the disclosure of its existence as pending applications to constitute proprietary information. Accompanying this Proprietary Information Disclosure Statement is a transmittal letter indicating that the materials contained herein are proprietary, as required by MPEP § 724.02.

Applicants respectfully request that the Examiner consider the foregoing information and provide in the next official communication the information set forth in MPEP § 724.04(a), so that the Applicants can, if appropriate, expunge those materials, as provided by the accompanying Petition under 37 C.F.R. § 1.59(b).

This Proprietary Information Disclosure Statement is being filed before the mailing of a Final Office Action on the merits. The appropriate fee is attached. However, if this is incorrect, the Commissioner is hereby authorized to charge any such fee to Deposit Account No. 08-1641.

Respectfully submitted,

Date: March 1, 2002

HELLER EHRMAN WHITE & MCAULIFFE  
1666 K Street, N.W., Suite 300  
Washington, DC 20006  
Telephone: (202) 912-2000  
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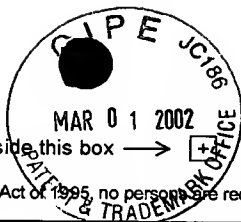
By Patricia D. Granados

Patricia D. Granados  
Attorney for Applicant  
Registration No. 33,683  
Customer No. 26633



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Please type a plus sign (+) inside this box → ☒

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PTO/SB/21 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

<b>TRANSMITTAL FORM</b> (to be used for all correspondence after initial filing)	Application Number	09/995,631
	Filing Date	November 29, 2001
	First Named Inventor	Stilz
	Group Art Unit	1653
	Examiner Name	D. Lukton
Total Number of Pages in This Submission	Attorney Docket Number	38005-0158

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TECH CENTER 1600/2900

ENCLOSURES (check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form  <input checked="" type="checkbox"/> Fee Attached  <input checked="" type="checkbox"/> Amendment / Response  <input type="checkbox"/> After Final  <input type="checkbox"/> Affidavits/declaration(s)  <input type="checkbox"/> Extension of Time Request  <input type="checkbox"/> Express Abandonment Request  <input checked="" type="checkbox"/> Information Disclosure Statement  <input type="checkbox"/> Certified Copy of Priority Document(s)  <input type="checkbox"/> Response to Missing Parts/Incomplete Application  <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application)  <input type="checkbox"/> Drawing(s)  <input type="checkbox"/> Licensing-related Papers  <input checked="" type="checkbox"/> Petition  <input type="checkbox"/> Petition to Convert to a Provisional Application  <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address  <input type="checkbox"/> Terminal Disclaimer  <input type="checkbox"/> Request for Refund  <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance Communication to Group  <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences  <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)  <input checked="" type="checkbox"/> Proprietary Information  <input type="checkbox"/> Status Letter  <input type="checkbox"/> Other Enclosure(s) (please identify below):
Remarks		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	Patricia D. Granados Reg. No. 33,683
Signature	<i>Patricia D. Granados</i>
Date	March 1, 2002

CERTIFICATE OF MAILING			
I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date: _____			
Typed or printed name	_____		
Signature	_____	Date	_____

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



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PATENT TRADEMARK OFFICE

# FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision



Complete if Known

Application Number 09/995,631  
Filing Date November 29, 2001  
First Named Inventor STILZ  
Examiner Name D. LUKTON  
Group / Art Unit 1653  
Attorney Docket No. 38005-0158

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MAR 08 2002

TOTAL AMOUNT OF PAYMENT (\$ 130

TECH CENTER 1600/2900

## METHOD OF PAYMENT (check all that apply)

☒ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None

☐ Deposit Account:

Deposit  
Account  
Number

08-1641

Deposit  
Account  
Name

HELLER EHRMAN WHITE & MCAULIFFE LLP

The Commissioner is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☒ Credit any overpayments  
☐ Charge any additional fee(s) during the pendency of this application  
☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
101	740	201	370	Utility filing fee	
106	330	206	165	Design filing fee	
107	510	207	255	Plant filing fee	
108	740	208	370	Reissue filing fee	
114	160	214	80	Provisional filing fee	

SUBTOTAL (1)

(\$ 0

### 2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
21	-36 **		0
Independent Claims	1	-3 **	0
Multiple Dependent			0

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	84	202	42	Independent claims in excess of 3
104	280	204	140	Multiple dependent claim, if not paid
109	84	209	42	** Reissue independent claims over original patent
110	18	210	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2)

(\$ 0

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	400	216	200	Extension for reply within second month	
117	920	217	460	Extension for reply within third month	
118	1,440	218	720	Extension for reply within fourth month	
128	1,960	228	980	Extension for reply within fifth month	
119	320	219	160	Notice of Appeal	
120	320	220	160	Filing a brief in support of an appeal	
121	280	221	140	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,280	241	640	Petition to revive - unintentional	
142	1,280	242	640	Utility issue fee (or reissue)	
143	460	243	230	Design issue fee	
144	620	244	310	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	130
123	50	123	50	Processing fee under 37 CFR 1.17 (q)	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	740	246	370	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	740	249	370	For each additional invention to be examined (37 CFR § 1.129(b))	
179	740	279	370	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3)

(\$ 130

## SUBMITTED BY

Name (Print/Type)

Patricia D. Granados

Registration No. Attorney/Agent

33,883

Telephone

202 912-2000

Signature

Patricia D. Granados

Date

March 1, 2002

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.



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PATENT TRADEMARK OFFICE



IDS/ 74  
E/12/02

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Attorney Docket No.: 38005-0158

In re patent application of

STILZ et al.

Serial No.: 09/995,631

Filed: November 29, 2001

**Atty. Docket No. 38005-0158**

Group Art Unit: 1653

Examiner: D. Lukton

Technology Center 1600

**For: NOVEL HETEROCYCLES AS INHIBITORS OF LEUCOCYTE ADHESION AND  
AS VLA-4 ANTAGONISTS**

**INFORMATION DISCLOSURE STATEMENT  
UNDER 37 CFR §1.56 and 37 CFR §1.97**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

Submitted herewith on Form PTO/SB/08A is a listing of documents known to applicant in order to comply with applicant's duty of disclosure pursuant to 37 C.F.R. §1.56.

The submission of any document herewith, which is not a statutory bar, is not intended as an admission that such document constitutes prior art against the claims of the present application or is considered to be material to patentability as defined in 37 C.F.R. §1.56(b). Applicant does not waive any rights to take any action which would be appropriate to antedate or otherwise remove as a competent reference any document which is determined to be a *prima facie* prior art reference against the claims of the present application.

**CONCISE EXPLANATION OF  
RELEVANCE OF EACH DOCUMENT**

U.S. 5,939,556 is an English language equivalent to WO 96/33976 submitted with the IDS filed November 29, 2001 (entry A6 in the IDS).

U.S. 5,981,492 is an English language equivalent to WO 95/14008 submitted with the IDS filed November 29, 2001 (entry A13 in the IDS).

U.S. 6,218,415 is an English language equivalent to EP 0796855 submitted with the IDS filed November 29, 2001 (entry A14 in the IDS).

WO 96/22966 was incorrectly listed as WO 96/2296 in the IDS filed November 29, 2001.

U.S. 5,998,447 was issued December 7, 1999.

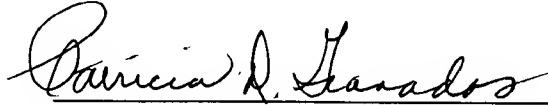
Applicants believe that the instant Information Disclosure Statement is being filed before the mailing of a first Office Action on the merits under 37 CFR §1.97(b)(3), therefore, no fee is required in connection with its filing. However, if this is incorrect, please charge Deposit Account No. 08-1641.

Applicants respectfully request that the listed documents be considered by the Examiner and be made of record in the present application and that an initialed copy of Form PTO/SB/08A be returned in accordance with M.P.E.P. §609.

Respectfully submitted,

March 1, 2002

Date



Patricia D. Granados

Reg. No. 33,683

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~~MAR 01 2002~~

SERIAL NO.  
09/995,631

APPLICANT  
Hans Ulrich STILZ *et al.*

(Use several sheets if necessary)

FILING DATE  
November 29, 2001

GROUP  
165 MAR 08 2002

## U.S. PATENT DOCUMENTS

*EXAMINER INITIAL		DOCUMENT NUMBER	DATE (M/D/Y)	NAME	CLASS	TECH. CLASS	FOONC CODE IF APPROPRIATE
	A1	5,939,556	08/99	ZOLLER et al.	548	320.1	
	A2	5,981,492	11/99	ZOLLER et al.	514	20	
	A3	5,998,447	12/99	STILZ et al.	514	341	
	A4	6,218,415	04/2001	WEHNER et al.	514	389	

## FOREIGN PATENT DOCUMENTS

[illegible]

OTHER DOCUMENT(S) (Including Author, Title, Date, Pertinent Pages, Etc.)


DATE CONSIDERED

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.